

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Sadao MIZUNO et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed October 29, 2003 : Attorney Docket No. 2003\_1572

CONVERGING ELEMENT, OPTICAL HEAD,  
AND APPARATUS AND METHOD OF  
OPTICALLY RECORDING AND REPRODUCING  
INFORMATION

**(Rule 1.53(b) Divisional  
of Serial No. 09/700,343,  
Filed November 14, 2000)**

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on the attached Form PTO-1449. Each reference listed on the Form PTO-1449 was previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/700,343, filed November 14, 2000.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office search report (in the English language) previously submitted in parent application Serial No. 09/700,343,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☒ the concise explanation set forth in the attached English language abstract (previously submitted in parent application Serial No. 09/700,343),
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Sadao MIZUNO et al.

By 

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October 29, 2003

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: October 29, 2003

ATTY DOCKET NO.  
2003\_1572SERIAL NO.  
NEWAPPLICANT  
Sadao MIZUNO et al.FILING DATE  
October 29, 2003

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,889,748	3/30/99	Shimano et al.			
	AB	5,822,135	10/13/98	Lee et al.			
	AC	5,883,873	7/1997	Morita			
	AD	6,400,670	11/1996	Dang			
	AE	5,978,346	1/1998	Mizuno et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AF	0 859 356	8/19/98	EP				
	AG	0 865 037	9/16/98	EP				
	AH	0 838 812	4/29/98	EP				
	AI	0 818 781	1/14/98	EP				
	AJ	10-124912	5/15/98	JP			Abstract	
	AK	7-065407	3/10/95	JP			Abstract	
	AL	11-002759	1/6/99	JP			Abstract	
	AM	10-026726	1/27/98	JP			Abstract	
	AN	10-214431	8/11/98	JP			Abstract	
	AO	10-275355	10/13/98	JP			Abstract	

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.